



DAC

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Salim et al.	}	Art Unit: Not Yet Assigned Examiner: Not Yet Assigned
Serial No.:	09/765,964		
Filing Date:	January 19, 2001		
Title:	METHOD AND APPARATUS FOR IMPLEMENTING AN ACTIVE INFORMATION MODEL		
Att'y File No.:	19382-004		

CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8

I hereby certify that the following documents:

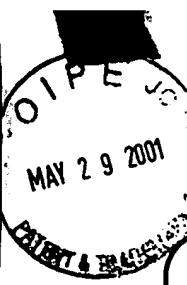
1. Transmittal Form;
2. Copy of Notice of Incomplete Nonprovisional Application;
3. Petition to Be Accorded Filing Date under 37 C.F.R. 1.53 (e);
4. Copy of Patent Application including:
 - (i) Ninety (90) pages of specifications, one (1) page of claims (1 claim), Abstract;
 - (ii) Forty (40) sheets of drawings (Figures 1-38);
 - (iii) Attachment A, Provisional patent application entitled "DATASOURCE HARMONIZER (27 sheets);
 - (iv) Attachment B, "harmeng: Logical View Report" (26 sheets);
 - (v) Attachment C, "References" (1 sheet);
5. Copy of the returned receipt postcard, containing a Filing Date of 01/19/01;
6. Declaration of Inventors;
7. Fee Transmittal;
8. Check No. 85997 in the amount of \$420.00 (filing fee and surcharge); and

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MAY 30 2001

OFFICE OF PETITIONS

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Please type a plus sign (+) inside this box →

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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#16

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/765,964
		Filing Date	01/19/2001
		First Named Inventor	SALIM RECEIVED
		Group Art Unit	Not yet assigned PY 6
		Examiner Name	Not yet assigned PCT
Total Number of Pages in This Submission	198	Attorney Docket Number	19382-004 CLASS OF PETITIONS

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input checked="" type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input checked="" type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Copy of complete non-provisional patent application (as filed).
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	THOMAS C. FOLSOM CHRISMAN, BYNUM & JOHNSON, P.C.
Signature	
Date	May 24, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name	Stefan T. Bump		
Signature		Date	May 24, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 420

Complete if Known	
Application Number	09/765,964
Filing Date	01/19/2001
First Named Inventor	SALIM
Examiner Name	Not yet assigned
Group / Art Unit	Not yet assigned

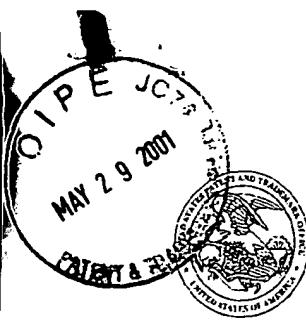
Attorney Docket No. 19382-004

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																																	
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account Number 03/1725</p> <p>Deposit Account Name CHRISMAN, BYNUM & JOHNSON, P.C.</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>				<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>65</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive – unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive – unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>130</td><td>123</td><td>130</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr> <td colspan="4">Other fee (specify) _____</td> <td colspan="4">SUBTOTAL (3) (\$ 65)</td> </tr> <tr> <td colspan="4">*Reduced by Basic Filing Fee Paid (\$ 0)</td> <td colspan="4"></td> </tr> </tbody> </table>				Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	65	127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	228	945	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive – unavoidable		141	1,240	241	620	Petition to revive – unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	130	123	130	Petitions related to provisional applications		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))		179	710	279	355	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) _____				SUBTOTAL (3) (\$ 65)				*Reduced by Basic Filing Fee Paid (\$ 0)							
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**or number previously paid, if greater; For Reissues, see above																																																																																																																																																																																																					

SUBMITTED BY						Complete (if applicable)
Name (Print/Type)	THOMAS C. FOLSOM	Registration No. Attorney/Agent)	35,514	Telephone	303-546-1300	
Signature				Date	May 24, 2001	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/765,964	01/19/2001	Mohammad S. Salim	19382-004

CONFIRMATION NO. 9148

FORMALITIES LETTER



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OFFICE OF PETITIONS

Date Mailed: 03/27/2001

NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

A filing date has NOT been accorded to the above-identified application papers for the reason(s) indicated below.

All of the items noted below and a newly executed oath or declaration covering the items must be submitted within TWO MONTHS of the date of this Notice, unless otherwise indicated, or proceedings on the application will be terminated (37 CFR 1.53(e)).

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the item(s) required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(i)). If the petition states that the application is entitled to a filing date, a request for a refund of the petition fee may be included in the petition.

- The application was deposited without drawings. 35 U.S.C. 113 (first sentence) requires a drawing "where necessary for the understanding of the subject matter sought to be patented." *Applicant should reconsider whether the drawings are necessary under 35 U.S.C. 113 (first sentence).*

The required items noted below SHOULD be filed along with any items required above. The filing date of this nonprovisional application will be the date of receipt of the items required above. The items noted below must be filed no later than TWO MONTHS FROM THE FILING DATE ACCORDED THIS APPLICATION.

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
- The balance due by applicant is \$ 710.

05/30/2001 GTEFFERA 00000080 09765964	355.00 OP
	65.00 OP

A copy of this notice MUST be returned with the reply.

Tulsi P. Patel
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



CHRISMAN BYNUM & JOHNSON

CHRISMAN, BYNUM & JOHNSON, P.C.
ATTORNEYS AND COUNSELORS AT LAW
1900 FIFTEENTH STREET
BOULDER, COLORADO 80302

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FACSIMILE 303.449.5426
E-MAIL CBJ@CBJ.COM
WWW.CBJ.COM

January 19, 2001

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

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MAY 30 2001

OFFICE OF PETITIONS

Re: U.S. Patent Application
METHOD AND APPARATUS FOR IMPLEMENTING
AN ACTIVE INFORMATION MODEL
Applicants: Salim *et al.*
Atty. File No.: 19382-004

Dear Sir:

The enclosed Patent Application of the above-referenced inventors, Mohammad S. Salim et al., is being filed by **EXPRESS MAIL POST OFFICE TO ADDRESSEE** (**Label No. EM590192530US**) with the specification, claims, abstract, and drawings which are sufficient to obtain a filing date under 37 C.F.R. 1.53 of the Patent Office Rules. The applicants will complete the application by submitting the required filing fee and declarations within the time allowed under 37 C.F.R. 1.53.

The correspondence address for purposes of Rule 1.53 is as follows:

Thomas C. Folsom, Reg. No. 35,514
Attorney for Applicants
Chrisman, Bynum & Johnson, P.C.
1900 Fifteenth Street
Boulder, CO 80302
Telephone: (303) 546-1300

Sincerely,

Thomas C. Folsom

TCF:stb
Enclosures



Applicants: Salim et al.

Serial No.: Not Yet Assigned

Filing Date: January 19, 2001

Examiner: Not Yet Assigned

Title: METHOD AND APPARATUS FOR IMPLEMENTING AN
ACTIVE INFORMATION MODEL

Our File No.: 19382.004

ITEMS ENCLOSED:

1. Certificate of Mailing Under 37 CFR 1.10;
2. Patent Application (including ninety (90) pages of specification, one (1) page of claims, and Abstract);
3. Forty (40) sheets of drawings (Figures 1-38);
4. Attachment A, Provisional patent application (2716 sheets);
5. Attachment B, "harmeng: Logical View Report" (26 sheets);
6. Attachment C, References, (1 sheet) and
7. Transmittal Letter to Assistant Commissioner of Patents.

Date Mailed: January 19, 2001

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Our File No.: 19382-004 / TCF



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CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. 1.10

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1. Patent Application (including ninety (90) pages of specifications, one (1) page of claims (1 claim), and Abstract) entitled METHOD AND APPARATUS FOR IMPLEMENTING AN ACTIVE INFORMATION MODEL;
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